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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/891,300	06/27/2001	Sang-Woo Lee	P-213	1619
34610	7590	05/16/2006	EXAMINER	
FLESHNER & KIM, LLP P.O. BOX 221200 CHANTILLY, VA 20153			SHIFERAW, ELEN I A	
			ART UNIT	PAPER NUMBER
			2136	

DATE MAILED: 05/16/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/891,300	<b>Applicant(s)</b> LEE, SANG-WOO	
	<b>Examiner</b> Eleni A. Shiferaw	<b>Art Unit</b> 2136	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 21 February 2006.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) 8,9,18 and 19 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-7,10-17 and 20-30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. Claims 1-7, 10-17, and 20-30 are presented for examination.

### *Response to Arguments*

2. Applicant's arguments with respect to claims 1-7, 10-17, and 20-30 have been fully considered but are moot in view of the new ground(s) of rejection.

### *Claim Rejections - 35 USC § 112*

3. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

4. Claims 1, 5, 14 and all dependent claims to claims 1, 5, and 14 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement.

The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. Applicant on claim 1 lines 15-lines 17 claims "wherein **access control is not performed if the ID** transmitted from the internal user is "**Anonymous,**" such that the internal **user is permitted to a service** located in the external network without access control to connect to a server located in the external network without access control, ...", and on lines 21-24 of the same claim "... if the user ID is "**Anonymous,**" **interrupting the transmission of the received service command to the external network; and if the user ID is a registered ID other**

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than “Anonymous,” transmitting the received service command to the external network and transmitting the data received from the internal user to the external network,...

Applicant is claiming two conflicting ideas of limitations. It is not clear what applicant is trying to claim. It is either there must be different types of request that applicant is trying to claim or a different kind of access control method, or a different invention that is not clearly disclosed in the Applicant's disclosure. If the invention is based on different kinds of request (*in light of the specification*), then applicant is required to clearly disclose the types of requests **in the claims**. For example, request comprising connection request to external network and data transmission request to external network,

if the request is connection request to the external network and user is “Anonymous” then performing no (no second/no further) access control but/and allowing a connection (just physical connection) to the external network, and

if the request is a data transfer request and user is “Anonymous” then performing an access control authentication on the user based on user ID and allowing or denying requested file transmission services based on authentication result....

Applicant discloses, in the specification par. 38, “if the client of the internal network tries to connect to the FTP proxy to request FTP service from the FTP server 17/external network...”, par. 40 “... if the user ID is “Anonymous,” the FTP proxy is permitted to connect to the FTP server without any particular access control operation. Thus physical connection between the client and FTP server of the external network is established...” and on par. 46 “...if the received command is for transmitting files to the

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external network, the FTP proxy determines whether the user ID is “Anonymous” the FTP proxy prevents the command from being transmitted to the FTP server 17. If the user ID is “Anonymous” in the internal network, connection is permitted without any access control operation. ... **“the user who uses “Anonymous” is permitted to use only commands other than the commands for file transmission to an external network”**.

Examiner rejects the claims based on the highlighted idea above. i.e. request comprising connecting and transmitting file/data to external network, if the request is for just connection, no need to perform access control, if request is to transmit file/data performing access control. Claims 5, are 14 are also rejected based on the same rational as claim 1. It is not clear what the applicant is intended to say. Appropriate correction is required in response to this Office Action to avoid abandonment.

5. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

9. Claims 5, and 14 and all dependent claims dependent to 5 and 14 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

As to claims 5 the phrases “the server” on line 14 lack antecedent basis.

As to claims 14 the phrases “the server” on line 14 lack antecedent basis. It needs to be external server/external network.

***Claim Rejections - 35 USC § 103***

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6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 1-7, 10-17, and 20-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Stockwell et al. USPN 5,950,195 in view of Williams USPN 6,304,973 B1.

Regarding claims 1, 14, and 23, Stockwell et al. teaches a protective device for internal resource protection in a network (fig. 4), comprising:

a firewall (fig. 1 element 14, and 18: TCP, Ethernet) between an internal network (fig. 1 element 26) and an external network (fig. 1 element 22), to selectively perform a disconnection function for an access request to the external network from the internal network (col. 4 lines 28-42 and fig. 4 element 110; *terminator firewall*);

a FTP proxy (fig. 2 element 50; *FTP proxy*) to perform an authentication function for an access request from the internal network to the external network (col. 4 lines 43-55, col. 5 lines 17-35; *FTP proxy with ACL for service and/or connection requests to/from the network*);

wherein the FTP proxy determines whether or not an ID transmitted from an internal user of the internal network is a registered ID (col. 7 lines 45-col. 8 lines 29; *FTP proxy determining user accesses based on predefined internal users ID*),

wherein access control is not performed if the ID transmitted from the internal user is "Anonymous," such that the internal user is permitted to connect to a server, located in the external network without access control (col. 12 lines 23-44; *allowing anonymous FTP*),

wherein transmitting the data comprises:

checking an ID of the internal user if the received service command is a command requesting data transmission (col. 9 lines 16-29);

if the user ID is "Anonymous," interrupting the transmission of the received service command to the external network (col. 9 lines 26-31 and fig. 4 elements 112, 114, and 110); and

if the user ID is a registered ID other than "Anonymous," transmitting the received service command to the external network and transmitting the data received from the internal user to the external network (col. 9 lines 34-39 and fig. 4 elements 112, 114, and 104),

wherein the file system stores data according to a type of the data (col. 5 lines 53-60), and

wherein the type of data is at least one of ASCII, EBCDIC, and Image (col. 5 lines 53-col. 6 lines 59).

Stockwell et al. fails to explicitly disclose:

to record log information related to the transmission of data by an authenticated user; and

a database to store log information related to the transmission of data according to the control of the FTP proxy.

However **Williams** discloses a system of firewall security to provide internal resource protection from internal user instead of the well known firewall protection of internal resource from external users (col. 3 lines 5-15) in using multi-level security network and security level col. 5 lines 3-67):

to record log information related to the transmission of data by an authenticated user (col. 18 lines 20-58);

a database to store log information related to the transmission of data according to the control of the FTP proxy (col. 18 lines 20-58).

Therefore it would have been obvious to one having ordinary skill in the art at the time of the invention was made to employ the teachings of Williams within the system of Stockwell et al. because they are analogous in network security. One would have been motivated to incorporate the idea of Williams because it would allow the network administrator to control every user activities performed in the network by using the well-known teachings of logging activity information.

Williams discloses a database to record log information on the FTP proxy as disclosed above. Williams does not explicitly disclose storing the transmitted data however it is obvious to include a file system to store data transmitted from the internal network to the external network, at the time of invention, according to the control of the FTP proxy because it would provide identification of data transmitted for security.



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Regarding claim 5, it has similar limitations as claim 1 above. And it has been rejected based on the same rationale as claim 1. And Williams teaches the additional limitations of claim 5 wherein

if the received service command is a command designating a type of data, storing the designated type of data in a file system (col. 8 lines 22-67).

Regarding claim 2, Williams discloses the device of claim 1, further comprising a proxy monitor configured to display the log information outputted from the FTP proxy (col. 18 lines 11-58).

Regarding claim 3, Stockwell et al. further discloses the device of claim 1, wherein a client connects to a FTP server of the external network through the FTP proxy (col. 4 lines 21-55).

Regarding claims 4 and 13, Williams teaches the device of claim 1, wherein the log information comprises a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file data logged on the FTP proxy (col. 17 lines 66-col. 18 lines 58).

Regarding claim 6, Stockwell et al. teaches the method of claim 5, wherein determining whether the access request is permitted further comprises:

controlling access by determining whether a host that has transmitted the access request is a registered host or not, if the ID of the internal user is a registered ID (col. 9 lines 10-57).

Regarding claims 7, 15, and 27, Stockwell et al. teaches the method of claim 6, wherein controlling the access comprises:

determining whether the ID transmitted from the internal user is a registered ID (col. 9 lines 10-57);

if the ID is registered, reading host information corresponding to the registered ID from the database (col. 9 lines 34-39);

determining whether the host information read from the database and the host who has transmitted the access request are identical (col. 9 lines 10-57); and

permitting access to the external network if the two hosts are identical (fig. 4 element 104).

Regarding claims 10, 16, and 28, the combination teach the method of claim 5 recording the transmission and reception of services comprises:

receiving file data to be transmitted from the internal user to the external network (Fig. 2 element 50, and Stockwell et al. col. 8 lines 39-col. 9 lines 40);

identifying the file data according to its data type to store the file data in the file system (Stockwell et al. col. 8 lines 39-col. 9 lines 40 and Fig. 2 element 50); and

recording log information on the transmission of file data in a database (Williams col. 18 lines 11-67).

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Regarding claim 11, Williams teaches the method of claim 10, wherein the filed data can be identified by the user as a designated data type or can be identified as a default data type (col. 10 lines 56-65).

Regarding claim 12, Williams teaches the method of claim 10 wherein the log information is recorded in the database when all data to be transmitted from the internal user to the external network is transmitted (col. 18 lines 11-27).

Regarding claims 17 and 29, Williams teaches the method of claim 16, wherein the log information comprises a user ID for performing file data transmission, a source IP address of the client being used by the internal user, a destination IP address of the FTP server that receives the file data, a date and time of file data transmission, a file name and absolute path of the file data to be stored in the FIT server, and a file name and absolute path of the file data logged on the FTP proxy (col. 18 lines 11-59).

Regarding claim 20, Stockwell et al. teaches the device of claim 1, further comprising a client, coupled to the firewall and to the FTP proxy, to request FTP service from the external network if the FTP proxy successfully authenticates the client (col. 4 lines 23-55 and col. 5 lines 7-47 and fig. 2; performing access control check on the user connected to firewall and FTP proxy).

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Regarding claims 21, 22, and 30, Williams teaches the method of claim 10, further comprising outputting the log information in a form recognizable to a system operator (col. 18 lines 20-28; log file).

Regarding claim 24, Stockwell et al. and Williams disclose all the subject matter as described above. Williams further discloses the method of claim 23, wherein storing the copy comprises storing the copy of the transmitted data (see claim 1 above) and the log information in the database of a file system (col. 18 lines 20-28; log file).

Regarding claim 25, Stockwell et al. teaches the method of claim 24, wherein the file system stores data based on a type of the data (col. 5 lines 53-col. 6 lines 59; FTP proxy storing files to be transmitted.).

Regarding claim 26, Stockwell et al. teaches the method of claim 25, wherein the type of data comprises one of the group of ASCII, EBCDIC and Image (col. 5 lines 53-col. 6 lines 59).

### ***Conclusion***

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. BorderWare Firewall Server 5.0, and BorderWare Firewall Version 5.0, disclose the well known FTP proxy authentication for accesses requested from the internal user to external user and Log file.

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9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eleni A. Shiferaw whose telephone number is 571-272-3867. The examiner can normally be reached on Mon-Fri 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz R. Sheikh can be reached on 571-272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

E.S.

May 14, 2006

  
AYAZ SHEIKH

SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100